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Docket No.: 4752-009

NOV 20 2006

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Masaraka NAKAZAWA *et al.*

U.S. Patent Application No. 10/553,649

Filed: August 14, 2006

: Confirmation No. 3749

: Group Art Unit: 2873

: Examiner: N/A

For: OPTICAL PULSE COMPRESSOR, OPTICAL FUNCTION GENERATOR, OPTICAL PULSE COMPRESSION METHOD, AND OPTICAL FUNCTION GENERATION METHOD

REQUEST FOR CORRECTED FILING RECEIPTCommissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Attached is a copy of the Filing Receipt received from the U.S. Patent and Trademark Office in the above-referenced application, on which we noticed that the title is listed erroneously. Also attached is a copy of the Declaration listing the title, which should appear as: OPTICAL PULSE COMPRESSOR, OPTICAL FUNCTION GENERATOR, OPTICAL PULSE COMPRESSION METHOD, AND OPTICAL FUNCTION GENERATION METHOD. It is requested that a corrected filing receipt be issued.

Respectfully submitted,

LOWE HAUPTMAN & BERNER, LLP

Kenneth M. Berner
Registration No. 37, 0931700 Diagonal Road, Suite 300
Alexandria, Virginia 22314
703-684-1111 KMB/cac
Facsimile: 703-518-5499
Date: November 20, 2006

CERTIFICATION OF FACSIMILE TRANSMISSION
I HEREBY CERTIFY THAT THIS PAPER IS BEING FACSIMI-
LE TRANSMITTED TO THE PATENT AND TRADEMARK OFFICE
ON THE DATE SHOWN BELOW
Candance Chambers
TYPE OR PRINT NAME OF PERSON SIGNING CERTIFICATION
Che. Che. 11/20/2006
SIGNATURE DATE
571-273-8300
FACSIMILE NUMBER

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002/008

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UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
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P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

| APPL NO. | FILING OR 371 (c) DATE | ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLMS | IND CLMS |
|------------|---------------------------|----------|---------------|-----------------|----------|----------|----------|
| 10/553,649 | 08/14/2006 | 2873 | 2030 | 4752-009 | 10 | 15 | 4 |

CONFIRMATION NO. 3749

22429
LOWE HAUPTMAN BERNER, LLP
1700 DIAGONAL ROAD
SUITE 300
ALEXANDRIA, VA 22314

FILING RECEIPT



OC000000021005419

Date Mailed: 10/30/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Masataka Nakazawa, Miyagi, JAPAN;
Toshihiko Hirooka, Miyagi, JAPAN;

Assignment For Published Patent Application

Japan Science and Technology Agency, Saitama, JAPAN

Power of Attorney: The patent practitioners associated with Customer Number 22429.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/JP04/03937 03/23/2004

Foreign Applications

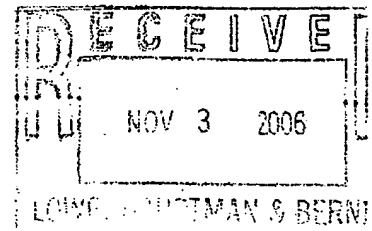
JAPAN 2003-109708 04/15/2003

If Required, Foreign Filing License Granted: 10/26/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/553,649**

Projected Publication Date: 02/01/2007

Non-Publication Request: No



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Early Publication Request: No

Title

Optical pulse compressor and optical function generator, optical pulse compressing method and optical function generating method

Preliminary Class

359

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce Initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

LICENSE FOR FOREIGN FILING UNDER

Title 35, United States Code, Section 184

Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The

date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

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| U.S. APPLICATION NUMBER NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
|-----------------------------|-----------------------|------------------|
| 10/553,649 | Masataka Nakazawa | 4752-009 |

INTERNATIONAL APPLICATION NO.

PCT/JP04/03937

22429
LOWE HAUPTMAN BERNER, LLP
1700 DIAGONAL ROAD
SUITE 300
ALEXANDRIA, VA 22314

I.A. FILING DATE

PRIORITY DATE

03/23/2004

04/15/2003

CONFIRMATION NO. 3749

371 ACCEPTANCE LETTER



OC000000021005420

Date Mailed: 10/30/2006

NOTICE OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C 371 AND 37 CFR 1.495

The applicant is hereby advised that the United States Patent and Trademark Office in its capacity as a Designated / Elected Office (37 CFR 1.495), has determined that the above identified international application has met the requirements of 35 U.S.C. 371, and is ACCEPTED for national patentability examination in the United States Patent and Trademark Office.

The United States Application Number assigned to the application is shown above and the relevant dates are:

08/14/2006

08/14/2006

DATE OF RECEIPT OF 35 U.S.C. 371(c)(1), (c)(2) and
(c)(4) REQUIREMENTSDATE OF COMPLETION OF ALL 35 U.S.C. 371
REQUIREMENTS

A Filing Receipt (PTO-103X) will be issued for the present application in due course. **THE DATE APPEARING ON THE FILING RECEIPT AS THE " FILING DATE" IS THE DATE ON WHICH THE LAST OF THE 35 U.S.C. 371 (c)(1), (c)(2) and (c)(4) REQUIREMENTS HAS BEEN RECEIVED IN THE OFFICE. THIS DATE IS SHOWN ABOVE.** The filing date of the above identified application is the international filing date of the international application (Article 11(3) and 35 U.S.C. 363). Once the Filing Receipt has been received, send all correspondence to the Group Art Unit designated thereon.

The following items have been received:

- Copy of the International Application filed on 10/14/2005
- Copy of the International Search Report filed on 10/14/2005
- Copy of IPE Report filed on 08/14/2006
- Information Disclosure Statements filed on 10/14/2005
- Oath or Declaration filed on 08/14/2006
- U.S. Basic National Fees filed on 10/14/2005
- Priority Documents filed on 10/14/2005
- Power of Attorney filed on 08/14/2006
- Non-English Language Application filed on 10/14/2005
- Specification filed on 10/14/2005
- Claims filed on 10/14/2005

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- Abstracts filed on 10/14/2005
- Drawings filed on 10/14/2005

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

PAULETTE R KIDWELL
Telephone: (703) 308-9140 EXT 216

PART 1 - ATTORNEY/APPLICANT COPY

FORM PCT/DO/EO/903 (371 Acceptance Notice)

DOCKET NO. 4752-009

DECLARATION AND POWER OF ATTORNEY

As a below-named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name; I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention (Design, if applicable) entitled: **OPTICAL PULSE COMPRESSOR, OPTICAL FUNCTION GENERATOR, OPTICAL PULSE COMPRESSION METHOD, AND OPTICAL FUNCTION GENERATION METHOD**

the specification of which is attached hereto unless one of the following boxes is checked:

- ☐ was filed on **October 14, 2005** as U.S. Patent Application No. **10/553,649**
☐ was filed on _____ as International Application (PCT) No. _____, and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above. I acknowledge the duty to disclose all information which is material to the examination of this application in accordance with *Title 37, Code of Federal Regulations, § 1.56*. I hereby claim foreign priority benefits under *Title 35, United States Code § 119* of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which the priority is claimed.

PRIOR FOREIGN APPLICATION(S)

| NUMBER | COUNTRY | DAY/MONTH/YEAR FILED | PRIORITY CLAIMED |
|-------------------|---------|----------------------|---|
| PCT/JP2004/003937 | WIPO | March 23, 2004 | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| 2003-109708 | JP | April 15, 2003 | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |

I hereby claim the benefit under *Title 35, United States Code, § 120* of any United States application(s) or PCT international application(s) designating The United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of *Title 35, United States Code, § 112*, I acknowledge the duty to disclose material information as defined in *Title 37, Code of Federal Regulations, § 1.56* which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

| APPLICATION NUMBER | FILING DATE | STATUS (Patented, Pending or Abandoned) |
|--------------------|-------------|---|
| | | |
| | | |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine, or imprisonment, or both, under *Section 1001 of Title 18 of the United States Code*, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.


POWER OF ATTORNEY: I (We) hereby appoint as my (our) attorneys, with full powers of substitution and revocation, to prosecute this application and transact all business in the Patent and Trademark Office connected therewith: Allan M. Lowe, Registration Number 19,641; Benjamin J. Hauptman, Registration Number 29,310; Kenneth M. Berner, Registration Number 37,093; James J. Bindseil, Registration Number 42,326; Randy A. Noranbrock, Registration Number 42,940 and William E. Beaumont Registration Number 30,996, Raymond J. Ho, Registration No. 41,838, Cameron H. Tousi, Registration No. 43,197.

Send correspondence to: **LOWE HAUPTMAN & BERNER, LLP**
CUSTOMER NO. 22429
 1700 Diagonal Road, Suite 300
 Alexandria, Virginia 22314

TELEPHONE CALLS TO:
Kenneth M. Berner
 (703) 684-1111

I hereby authorize the U.S. attorneys and agents named herein to accept and follow instructions from **HASHIZUME & ASSOCIATES** to any actions to be taken in the U.S. Patent and Trademark Office regarding this application without direct communication between the U.S. attorneys and the undersigned. In the event of a change in the person(s) from whom instructions may be taken, the U.S. attorneys will be so notified by the undersigned.

☐ See following page(s) for additional joint inventors.

| | |
|---|----------------------------|
| Full name of sole or first inventor: Masataka NAKAZAWA | |
| Inventor's signature:  | Date: Nov. 22, 2005 |
| Residence: 3-2-13, Kunimigaoka, Aoba-ku, Sendai-shi, Miyagi 989-3201 Japan | |
| Citizenship: Japan | |
| Post Office Address: 3-2-13, Kunimigaoka, Aoba-ku, Sendai-shi, Miyagi 989-3201 Japan | |

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DOCKET NO. 4752-009

| | |
|--|---------------------|
| Full Name of Second Inventor: Toshihiko HIROOKA | |
| Inventor's signature: <i>Toshihiko Hirooka</i> | Date: Nov. 22, 2005 |
| Residence: 2-3-501, Renbokoji, Wakabayashi-ku, Sendai-shi, Miyagi 984-0053 Japan | |
| Citizenship: Japan | |
| Post Office Address: 2-3-501, Renbokoji, Wakabayashi-ku, Sendai-shi, Miyagi 984-0053 Japan | |

| | |
|------------------------------|-------|
| Full Name of Third Inventor: | |
| Inventor's signature: | Date: |
| Residence: | |
| Citizenship: | |
| Post Office Address: | |

| | |
|-------------------------------|-------|
| Full Name of Fourth Inventor: | |
| Inventor's signature: | Date: |
| Residence: | |
| Citizenship: | |
| Post Office Address: | |

| | |
|------------------------------|-------|
| Full Name of Fifth Inventor: | |
| Inventor's signature: | Date: |
| Residence: | |
| Citizenship: | |
| Post Office Address: | |

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